

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.: 09792909-5708  
First Named Inventor: SHIBANUMA, T.  
Title: BATHOPHENANTHRLINE COMPOUND AND  
PROCESS FOR PREPARING SAME  
Express Mail No. EV328241296US  
Date of Deposit: September 5, 2003

US PTO  
10/656659  
09/05/03

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Mail Stop Patent Application  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

1. ☒ This Form includes the Fee Transmittal (See Box 19)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status. (See 37 CFR 1.27)
3. ☒ Specification [Total Pages 95]
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 7]
5. ☒ Declaration and Power of Attorney [Total Pages 5]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate

8. ☐ Nucleotide and/or Amino Acid Sequence Submission
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R in duplicate; or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s)) Copy from  
parent appl ser.no. 09/704,968
10. ☐ 37 CFR 3.73(b) Statement
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS  
Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
15. ☐ Certified copy of \_\_\_\_\_ Priority Document:  
Document No. \_\_\_\_\_, filed on \_\_\_\_\_.
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).  
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certificate of Express Mail; Copy of cover page of  
Japanese Priority Document, P11-312071

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.: 09/704,968  
Prior application information: Examiner Name: Huang, E. Group Art Unit: 1625

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. FEE CALCULATIONS:

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) BASIC FEE
	TOTAL CLAIMS	2	0	\$18.00	\$750.00
	INDEPENDENT CLAIMS	1	1	\$84.00	\$0.00
	ANY MULTIPLE DEPENDENT CLAIMS? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO			\$280.00	\$0.00
	SUBTOTAL				\$750.00

- a. ☒ In connection with this application, the Commissioner is hereby authorized to credit overpayments or to charge any additional fee required to Deposit Account No. 19-3140. **A duplicate copy of this sheet is enclosed.**
- b. ☒ The enclosed credit card payment form to charge the amount of \$750.00 covers the total claim fee.

20. ☒ Customer No. 26263  
Dated: September 5, 2003

SIGNATURE:

David R. Metzger (Reg. No. 32,919)

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

"Express Mail" Mailing Label Number: EV328241296US

Date of Deposit: September 5, 2003

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Applicant(s): Shibanuma, T. et al

Attorney Docket No. 9792909-5708

Transmittal (1 page - in duplicate)

Certificate of Express Mail

Credit Card Payment Form (1 page - in duplicate)

Preliminary Amendment

Specification (95 pages)

Drawings ( 7 sheets - Figs 1-9)

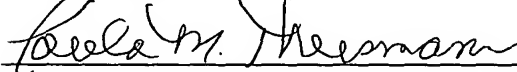
Copy of Declaration from parent application

Copy of recorded assignment from parent application

Copy of coversheet of Japanese Priority Document P11-312071

Information Disclosure Statement including EPO Search Report, Form 1449 and cited references

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Signature of Person Mailing Application and Fees